

P24864.P01

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

P24864

Total Pages

Inventor(s) or Application Identifier

Shuichi TAKEUCHI

Title: OBJECTIVE LENS FOR OPTICAL DISCS

ADDRESS TO:

Commissioner for Patents  
Mail Stop Patent Application  
PO Box 1450  
Alexandria, VA 22313-1450

## APPLICATION ELEMENTS

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
  - a. ☐ Small Entity Statement(s)
3. ☒ Specification [Total Pages 36]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 2]
5. ☒ Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy) ☐ Unexecuted
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 20 completed)  
[Note Box 6 below]
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Incorporation By Reference (useable if Box 5b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
7. ☐ Application Data Sheet. See 37 CFR 1.76
8. ☐ CD-Rom or CD-R in duplicate, large table or Computer Program (Appendix)

## ACCOMPANYING APPLICATION PARTS

9. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies
10. ☒ Assignment Papers (cover sheet & document(s))
11. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
12. ☐ English Translation Document (if applicable)
13. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
14. ☐ Preliminary Amendment
15. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
16. ☒ Figure of Drawing to be published 1
17. ☒ Foreign priority claimed
  - a. ☒ Claim of Priority
  - b. ☒ Certified Copy of Priority Document(s)
18. ☐ Nonpublication Request under 35 U.S.C. 122 (b) (2) (B) (i).  
Applicant must attach form PTO/SB/35 or its equivalent.
19. ☒ Assignee: PENTAX Corporation, of Tokyo, JAPAN
20. ☒ Other: Cover Letter Regarding Executed Application

21. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 C.F.R. 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior Application No. \_\_\_\_\_ / \_\_\_\_\_, filed \_\_\_\_\_.  
Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

Address all future correspondence to **Customer No. 7055** at the present address of:

GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

Date

3/3/84

*Leshie J. Berner*  
Signature

Bruce H. Bernstein, Reg. No. 29,027  
Typed or Printed Name

33,329

FEE TRANSMITTAL

Complete if Known

|                      |                       |
|----------------------|-----------------------|
| Application Number   | Not Yet Assigned      |
| Filing Date          | Concurrently Herewith |
| First Named Inventor | S. TAKEUCHI           |
| Group Art Unit       | Unassigned            |
| Examiner Name        | Unassigned            |

TOTAL AMOUNT OF PAYMENT (\$810.00)

Attorney Docket Number P24864

METHOD OF PAYMENT (check one)

1. ☒ The U.S. Patent and Trademark Office is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-0089

Deposit Account Name GREENBLUM & BERNSTEIN, P.L.C.

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3))

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)

☐ Applicant Claims Small Entity Status See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION (fees effective 10/01/03)

1. FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 1001           | 770             | 2001           | 385             | Utility filing fee     | 770.00   |
| 1002           | 340             | 2002           | 170             | Design filing fee      |          |
| 1003           | 530             | 2003           | 265             | Plant filing fee       |          |
| 1004           | 770             | 2004           | 385             | Reissue filing fee     |          |
| 1005           | 160             | 2005           | 80              | Provisional filing fee |          |

SUBTOTAL (1) (\$) 770.00

2. CLAIMS

| Total Claims              | Extra | Fee from below | Fee Paid |
|---------------------------|-------|----------------|----------|
| 12                        | -20=  | 0 x 18         | = 0.00   |
| Independent Claims        | 2 -3= | 0 x 86         | = 0.00   |
| Multiple Dependent Claims | 0     | x 290          | = 0.00   |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description   |
|----------------|-----------------|----------------|-----------------|---|
| 1202           | 18              | 2202           | 9               | Claims in excess of 20                                  |
| 1201           | 86              | 2201           | 43              | Independent claims in excess of 3                       |
| 1203           | 290             | 2203           | 145             | Multiple dependent claim                                |
| 1204           | 86              | 2204           | 43              | Reissue independent claims over original patent         |
| 1205           | 18              | 2205           | 9               | Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 0.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid |
|----------------|-----------------|----------------|-----------------|--|----------|
| 1051           | 130             | 2051           | 65              | Surcharge - late filing fee or oath  |          |
| 1052           | 50              | 2052           | 25              | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 1053           | 130             | 1053           | 130             | Non-English specification  |          |
| 1812           | 2,520           | 1812           | 2,520           | For filing a request for reexamination                                     |          |
| 1804           | 920*            | 1804           | 920*            | Requesting publication of SIR  |          |
|                |                 |                |                 | Prior to Examiner action   |          |
| 1805           | 1,840*          | 1805           | 1,840*          | Requesting publication of SIR after Examiner action                        |          |
| 1251           | 110             | 2251           | 55              | Extension for response within 1st month                                    |          |
| 1252           | 420             | 2252           | 210             | Extension for response within 2nd month                                    |          |
| 1253           | 950             | 2253           | 475             | Extension for response within 3rd month                                    |          |
| 1254           | 1,480           | 2254           | 740             | Extension for response within 4th month                                    |          |
| 1255           | 2,010           | 2255           | 1,005           | Extension for response within 5th month                                    |          |
| 1401           | 330             | 2401           | 165             | Notice of Appeal   |          |
| 1402           | 330             | 2402           | 165             | Filing a brief in support of an appeal                                     |          |
| 1403           | 290             | 2403           | 145             | Request for oral hearing   |          |
| 1451           | 1,510           | 1451           | 1,510           | Petition to institute a public use proceeding                              |          |
| 1452           | 110             | 2452           | 55              | Petition to revive unavoidably abandoned application                       |          |
| 1453           | 1,330           | 2453           | 665             | Petition to revive unintentionally abandoned application                   |          |
| 1501           | 1,330           | 2501           | 665             | Utility issue fee (or reissue)   |          |
| 1502           | 480             | 2502           | 240             | Design issue fee   |          |
| 1503           | 640             | 2503           | 320             | Plant issue fee  |          |
| 1460           | 130             | 1460           | 130             | Petitions to the Commissioner  |          |
| 1807           | 50              | 1807           | 50              | Petitions related to provisional applications                              |          |
| 1806           | 180             | 1806           | 180             | Submission of IDS  |          |
| 8021           | 40              | 8021           | 40              | Recording each patent assignment per property (times number of properties) | 40.00    |
| 1809           | 770             | 2809           | 385             | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810           | 770             | 2810           | 385             | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801           | 770             | 2801           | 385             | Request for Continued Examination (RCE)                                    |          |
| 1802           | 900             | 1802           | 900             | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) (\$) 40.00

\*Reduced by Basic Filing Fee paid

SUBMITTED BY

Complete (if applicable)

Typed or Printed Name Bruce H. Bernstein

Reg. Number 29,027

Signature

*Bernstein* Date 3/3/04  
33,329

Deposit Account User ID

P24864.A01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Shuichi TAKEUCHI

Applications Branch

Appln. No. : Not yet assigned

Filed : Concurrently herewith

For : OBJECTIVE LENS FOR OPTICAL DISCS

**COVER LETTER REGARDING EXECUTED APPLICATION**

Commissioner for Patents  
Alexandria, VA 22313-1450

Sir:

The undersigned points out that the executed application being filed herewith includes pages 1 - 3 of the executed declaration which were forwarded to the undersigned by facsimile by Applicant's Japanese representative on March 3, 2004, and pages 1 - 36 of the specification (with Figures 1 - 4) which were forwarded to the undersigned by Applicant's Japanese representative earlier on February 3, 2003. Further, the undersigned has been advised by the Japanese representative that the inventor had reviewed the application before executing the declaration.

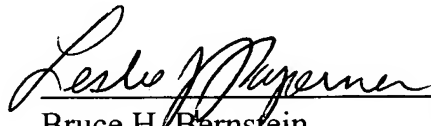
Accordingly, Applicant respectfully submits that the present application is properly executed and should be considered as filed in executed form. However, if the U.S. Patent and Trademark Office determines that the present application is not properly executed,

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Applicant respectfully requests that the present application be treated as an unexecuted application under 37 C.F.R. 1.53(f).

Should there be any questions regarding this paper, please contact the undersigned at the below listed number.

Respectfully submitted,  
Shuichi TAKEUCHI

  
Bruce H. Bernstein  
Reg. No. 29,027

*By 16*  
*33,329*

March 3, 2004  
GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, Virginia 20191  
(703) 716-1191